

03/05/02

P21873.P01 1132 U.S. PTO		UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))		Attorney Docket No. P21873	Total Pages A
				Inventor(s) or Application Identifier Shuichi TAKEUCHI and Koichi MARUYAMA	
				Title: OBJECTIVE LENS FOR OPTICAL PICK-UP	
ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231					
APPLICATION ELEMENTS			ACCOMPANYING APPLICATION PARTS		
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>a. <input type="checkbox"/> Small Entity Statement(s)</p> <p>3. <input checked="" type="checkbox"/> Specification (preferred arrangement set forth below) [Total Pages <u>33</u>]</p> <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to Sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure <p><input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>7</u>]</p> <p><input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>3</u>]</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy) <input type="checkbox"/> Unexecuted</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 20 completed) [Note Box 6 below]</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p><input type="checkbox"/> Incorporation By Reference (useable if Box 5b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p> <p><input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> <p>8. <input type="checkbox"/> CD-Rom or CD-R in duplicate, large table or Computer Program (Appendix)</p>			<p>9. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> <p>10. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>11. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney</p> <p>12. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>13. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>14. <input type="checkbox"/> Preliminary Amendment</p> <p>15. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>16. <input checked="" type="checkbox"/> Figures of Drawing to be published <u>1B, 1C</u></p> <p>17. <input checked="" type="checkbox"/> Foreign priority claimed</p> <p>a. <input checked="" type="checkbox"/> Claim of Priority</p> <p>b. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)</p> <p>18. <input checked="" type="checkbox"/> Assignee: <u>ASAHI KOGAKU KOGYO KABUSHIKI KAISHA of Tokyo, JAPAN</u></p> <p>19. <input checked="" type="checkbox"/> Other: Cover Letter Regarding Executed Application</p>		
<p>20. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior Application No. _____, filed _____</p> <p>Prior application information: Examiner: _____ Group Art Unit: _____</p>					
<p>21. <input type="checkbox"/> Amend the specification by inserting before the first line the sentence: This application is a <u> </u> continuation-in-part, <u> </u> continuation, <u> </u> divisional, of Application No. _____, filed _____.</p>					

1050 U.S. PTO
10/087832
03/05/02

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3/5/02
Date

Bruce H. Bernstein
Signature
Reg No. 33,329

Bruce H. Bernstein, Reg No. 29,027
Typed or Printed Name

07055
PATENT TRADEMARK OFFICE

FEE TRANSMITTAL

Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	S. TAKEUCHI et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned

TOTAL AMOUNT OF PAYMENT (\$780.00)

Attorney Docket Number P21873

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-0089

Deposit Account Name GREENBLUM & BERNSTEIN, P.L.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)

☐ Applicant Claims Small Entity Status See 37 CFR 1.27.

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION (fees effective 10/01/01)

1. FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 740

2. CLAIMS

Total Claims	Independent Claims	Multiple Dependent Claims	Extra	Fee from below	Fee Paid
11	-20=		0	x 18 =	0
2	-3=		0	x 84 =	0
				x 280 =	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
109	84	209	42	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR Prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within 1st month	
116	400	216	200	Extension for response within 2nd month	
117	920	217	460	Extension for response within 3rd month	
118	1,440	218	720	Extension for response within 4th month	
128	1,960	228	980	Extension for response within 5th month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,280	241	640	Petition to revive unintentionally abandoned application	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of IDS	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) (\$) 40

*Reduced by Basic Filing Fee paid

SUBMITTED BY

Complete (if applicable)

Typed or Printed Name Bruce H. Bernstein

Reg. Number

29,027

Signature

Date

3/15/02

Deposit Account User ID

P21873.A01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Shuichi TAKEUCHI et al.

Applications Branch

Appln. No. : Not yet assigned

Filed : Concurrently herewith

For : OBJECTIVE LENS FOR OPTICAL PICK-UP

COVER LETTER REGARDING EXECUTED APPLICATION

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

The undersigned points out that the executed application being filed herewith includes pages 1 - 3 of the executed declaration which were forwarded to the undersigned by facsimile by Applicants' Japanese representative on March 1, 2002, and pages 1 - 33 of the specification (with Figures 1 - 14) which were earlier forwarded to the undersigned by Applicants' Japanese representative on February 21, 2002. Further, the undersigned has been advised by the Japanese representative that the inventors had reviewed the application before executing the declaration.

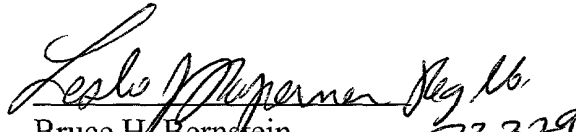
Accordingly, Applicants respectfully submit that the present application is properly executed and should be considered as filed in executed form. However, if the U.S. Patent and Trademark Office determines that the present application is not properly executed,

P21873.A01

Applicants respectfully request that the present application be treated as an unexecuted application under 37 C.F.R. 1.53(f).

Should there be any questions regarding this paper, please contact the undersigned at the below listed number.

Respectfully submitted,
Shuichi TAKEUCHI et al.


Bruce H. Bernstein
Reg. No. 29,027
Reg. No. 33,329

March 4, 2002
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